

**DOCKET NO.: MSFT-2793/304866.01**

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In Re Application of:**

**Dragan Tomic, Joseph Xavier, Shankar Pal, Istvan Cseri, Gideon Schaller,  
Michael Rys, and Oliver Nicholas Seeliger**

**For: XML SCHEMA COLLECTION OBJECTS AND CORRESPONDING SYSTEMS  
AND METHODS**

**EXPRESS MAIL LABEL NO: EV 302214850 US  
DATE OF DEPOSIT: December 1, 2003**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 CFR § 1.56 and in accordance with 37 CFR §§ 1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 CFR § 1.56(b).

- ☒ In accordance with § 1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in § 1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first Office Action after the filing of request for continued examination under § 1.114, no additional fee is required.

- ☐ In accordance with § 1.129(a), this Information Disclosure Statement is being filed in connection with ☐ the first or ☐ second After Final Submission, therefore:
- ☐ Certification in Accordance with § 1.97(e) is attached; or
- ☐ The fee of **\$180.00** as set forth in § 1.17(p) is attached.
- ☐ In accordance with § 1.97(c), this Information Disclosure Statement is being filed after the period set forth in § 1.97(b) above but before the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311, or before an action that otherwise closes prosecution in the application, therefore:
- ☐ Certification in Accordance with § 1.97(e) is attached; or
- ☐ The fee of **\$180.00** as set forth in § 1.17(p) is attached.
- ☐ In accordance with § 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with § 1.97(e); and the submission fee of **\$180.00** as set forth in § 1.17(p).
- ☒ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- ☐ Copies of references listed on the attached Form PTO 1449 are not required to be submitted pursuant to the June 30, 2003 recent revisions to 37 CFR § 1.98(a)(2)(i).

## EXCEPT THAT:

- ☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.
- ☐ In accordance with § 1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office

in patent application(s) for which a claim for priority under 35 U.S.C. § 120 have been made in the instant application:

- ☐ Copies of references [list as appropriate] listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior Application No. \_\_\_\_\_, filed

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.

This form is submitted in duplicate.

- ☒ There are no listed references which are not in the English language.

Date: December 1, 2003



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<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office		Docket No. <b>MSFT-2793/304866.01</b>	Application No. <b>Not yet assigned</b>
		Applicants: <b>Dragan Tomic, Joseph Xavier, Shankar Pal, Istvan Cseri, Gideon Schaller, Michael Rys, Oliver Seelinger</b> Title: <b>XML Schema Collections</b>	
		Filing Date <b>Herewith</b>	Group <b>Not yet assigned</b>
		Confirmation No. <b>Not yet assigned</b>	
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
	<b>1</b>	Garofalakis, Minos; Gionis, Aristides; Rastogi, Rajeev; Seshadri, S.; Shim, Kyuseok; "XTRACT: Learning Document Type Descriptors from XML Document Collections," <i>Data Mining and Knowledge Discovery</i> ; Kluwer Academic Publ, Dordrecht, NL, <b>2003</b> ; Vol. 7, No. 1 (JAN), pp. 23-56	
	<b>2</b>	Yang, Yanyan; Rana, Omer F.; Walker, David W.; Georgousopoulos, Christos; Aloisio, Giovanni; Williams, Roy; "Agent Based Data Management in Digital Libraries," <i>Parallel Computing</i> ; Elsevier Science BV, Amsterdam, NL; <b>2002</b> ; Vol. 28, No. 5 (MAY), pp. 773-792	
	<b>3</b>	Garofalakis, Minos; Gionis, Aristides; Rastogi, Rajeev; Seshadri, S.; Shim, Kyuseok; "XTRACT: A System for Extracting Document Type Descriptors from XML Documents," <i>Sigmod Record</i> ; Assoc. Computing Machiner, New York, NY; <b>2000</b> ; Vol. 29, No. 2 (JUN), pp. 165-176	
	<b>4</b>	Meier, Wolfgang; "eXist: An Open Source Native XML Database;" <i>Proceedings of Web, Web-Services, and Database Systms, NODe 2002 Web- and Database-Related Workshops, Oct. 7-10, 2002, Erfurt, Germany, Revised Papers (Lecture Notes in Computer Science)</i> ; Springer-Verlag, Berlin, Germany; <b>2003</b> ; Vol. 2593, pp. 169-183	
	<b>5</b>	Kotsakis, Evangelos; "XSD: A Hierarchical Access Method for Indexing XML Schemata;" <i>Knowledge and Information Systems</i> ; Springer-Verlag, UK; <b>2002</b> ; Vol. 4, No. 2, pp. 168-201	
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	<b>10</b>		
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>	